

DRAWINGS  
FOR  
APPLICATION  
FOR  
UNITED STATES LETTERS PATENT

TITLE: CONTROLLING A TRADING ACCOUNT OWNED BY A  
SECURITIES TRADER

APPLICANTS: THURSTON GILMAN, DAVID GELFOND, SCOTT  
GILMAN, ALEKE MSUMBA AND PAUL BONNARIGO

FIGURES: 1 through 67

SHEETS: 31

CERTIFICATE OF MAILING BY EXPRESS MAIL

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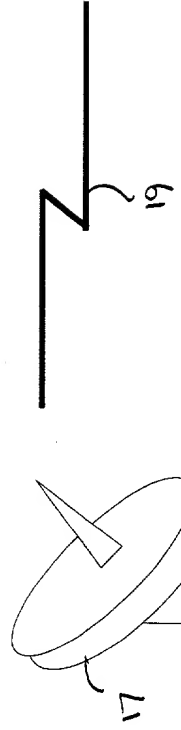
February 6, 2001

Date of Deposit

Signature

Samantha Bell  
Typed or Printed Name of Person Signing Certificate

FIG. 1a

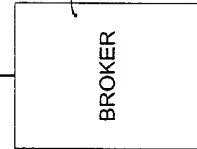
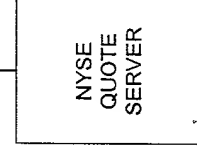
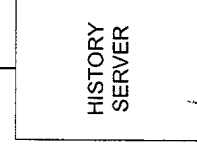
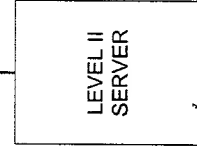
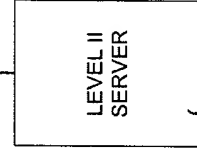
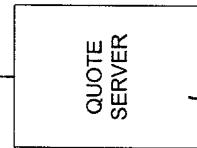
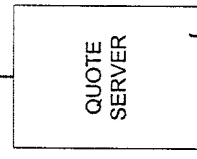


10

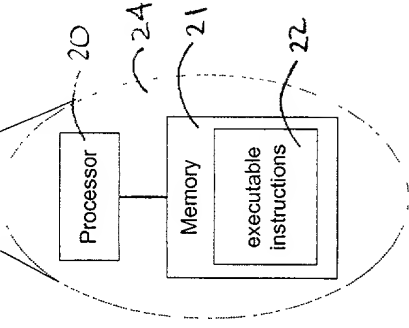
FIG. 1
FIG. 1a
FIG. 1b



11



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TO TRADER NETWORK

FIG. 1a

FROM DATA FEED NETWORK

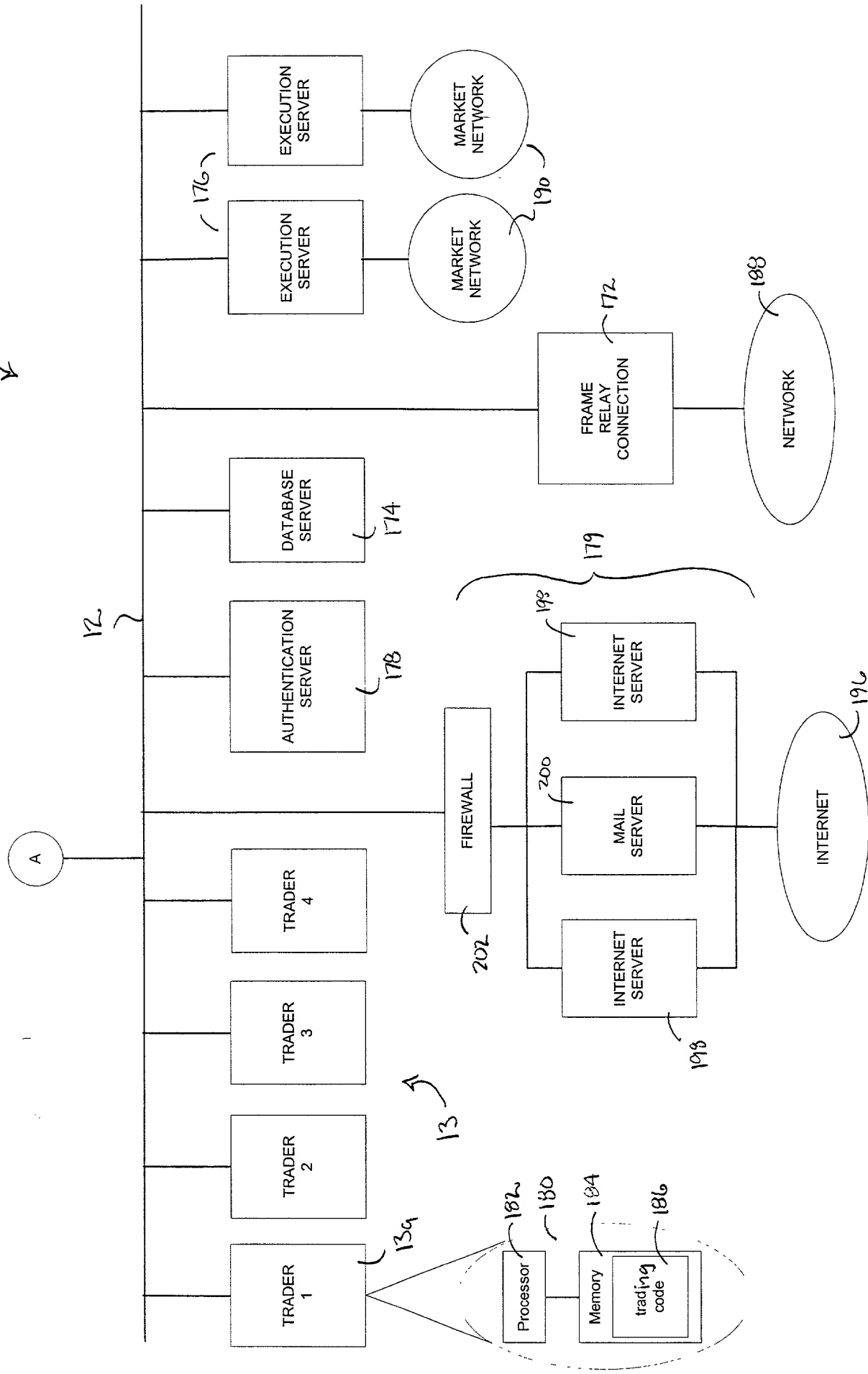
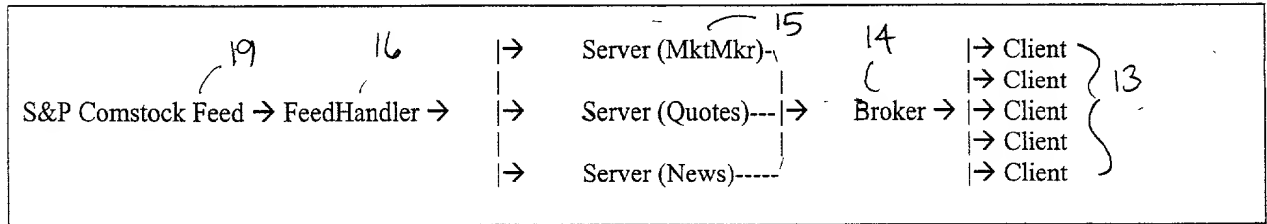
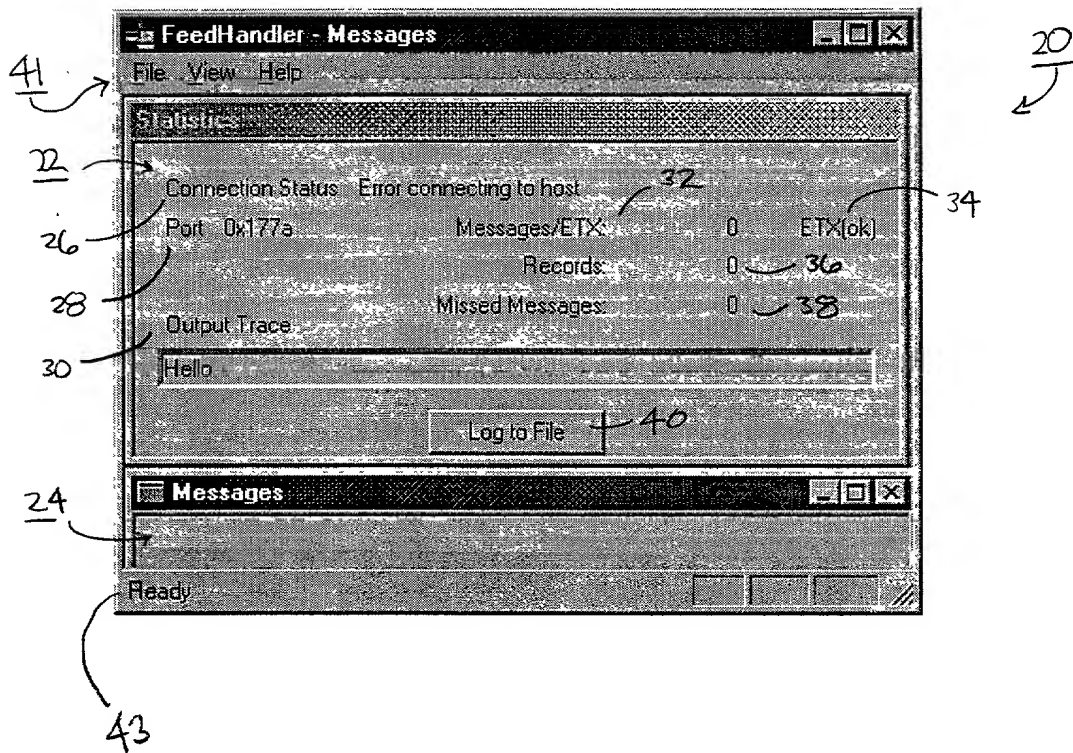


FIG. 1b



**FIG. 2**



**FIG. 3**

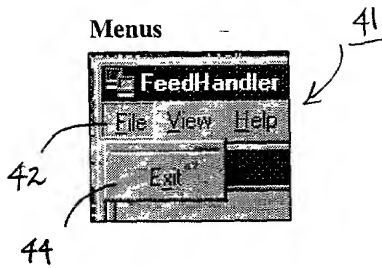


FIG. 4

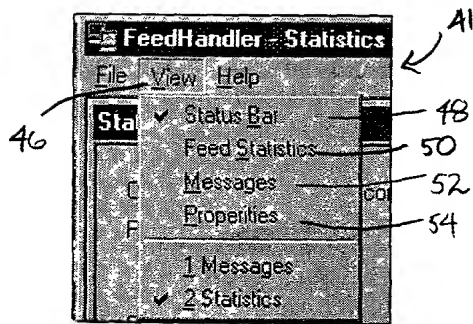


FIG. 5

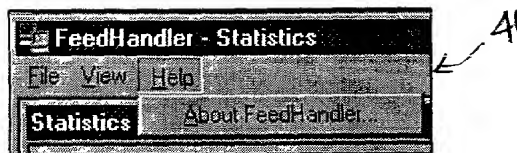


FIG. 6

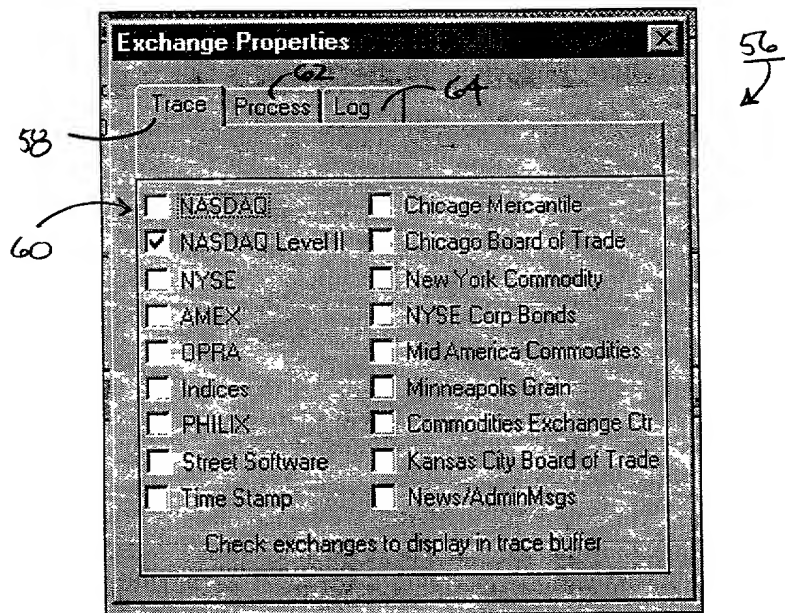


FIG. 7

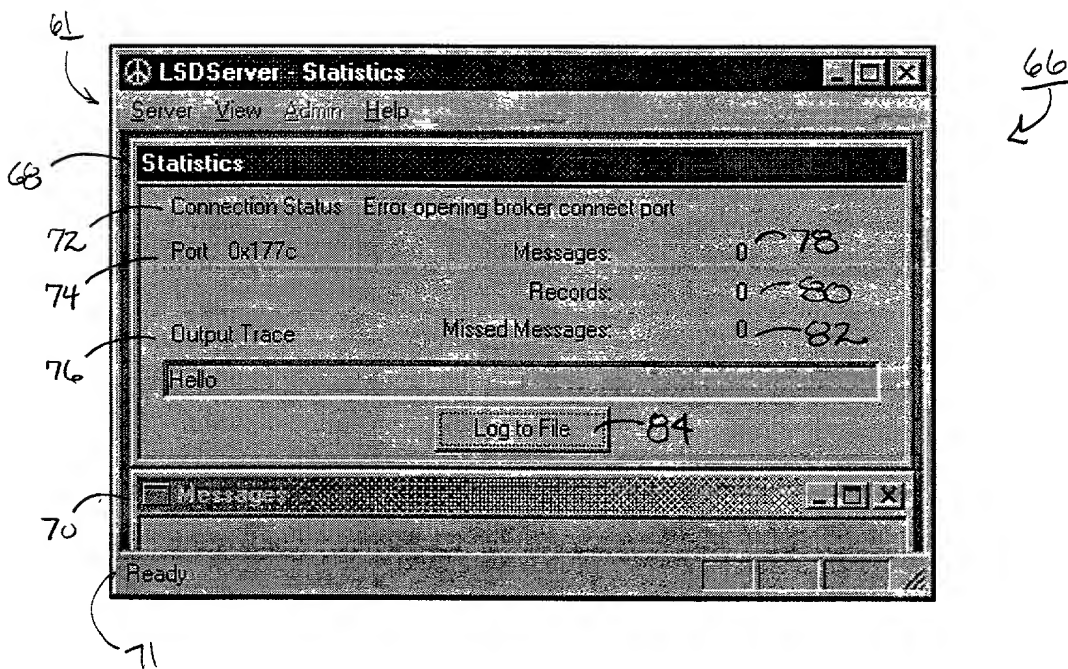


FIG. 8

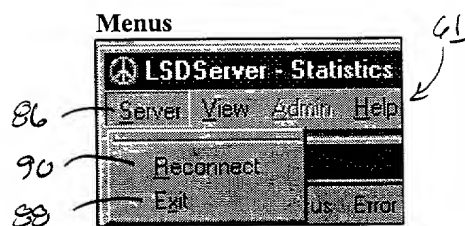


FIG. 9

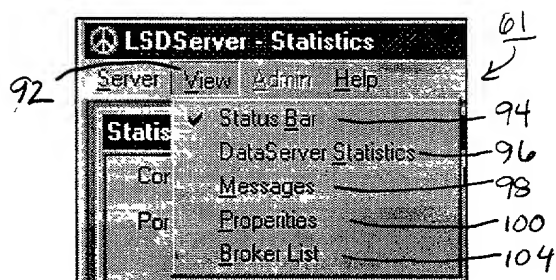


FIG. 10

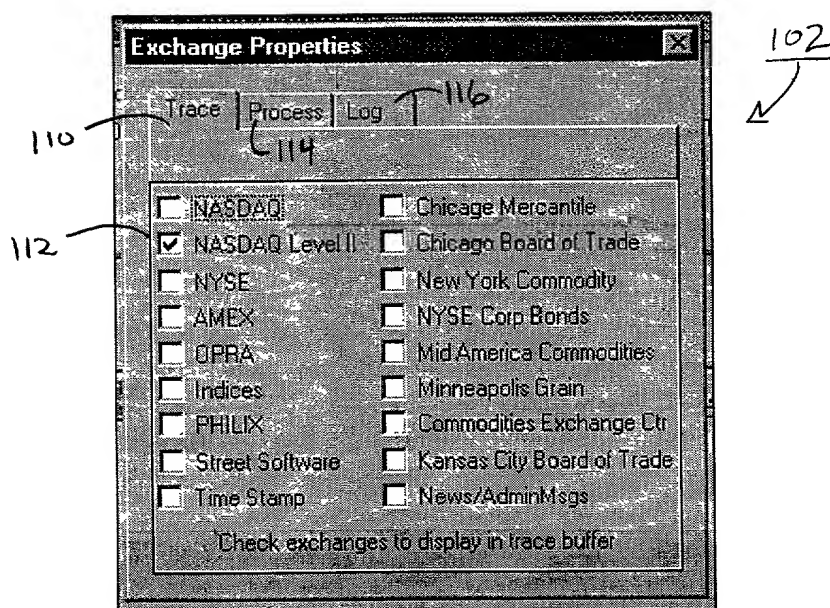


FIG. 11

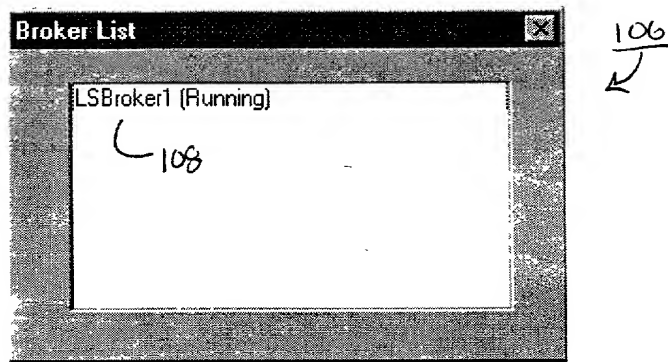


FIG. 12

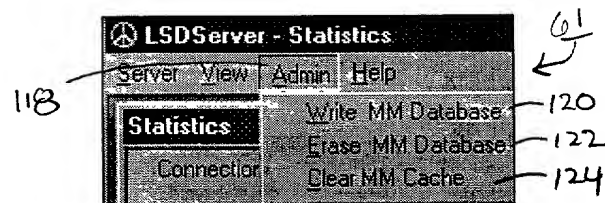


FIG. 13

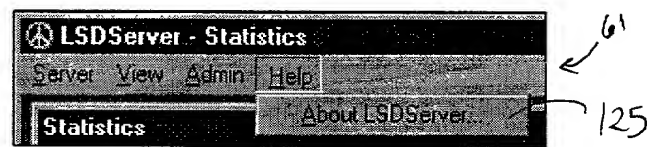


FIG. 14



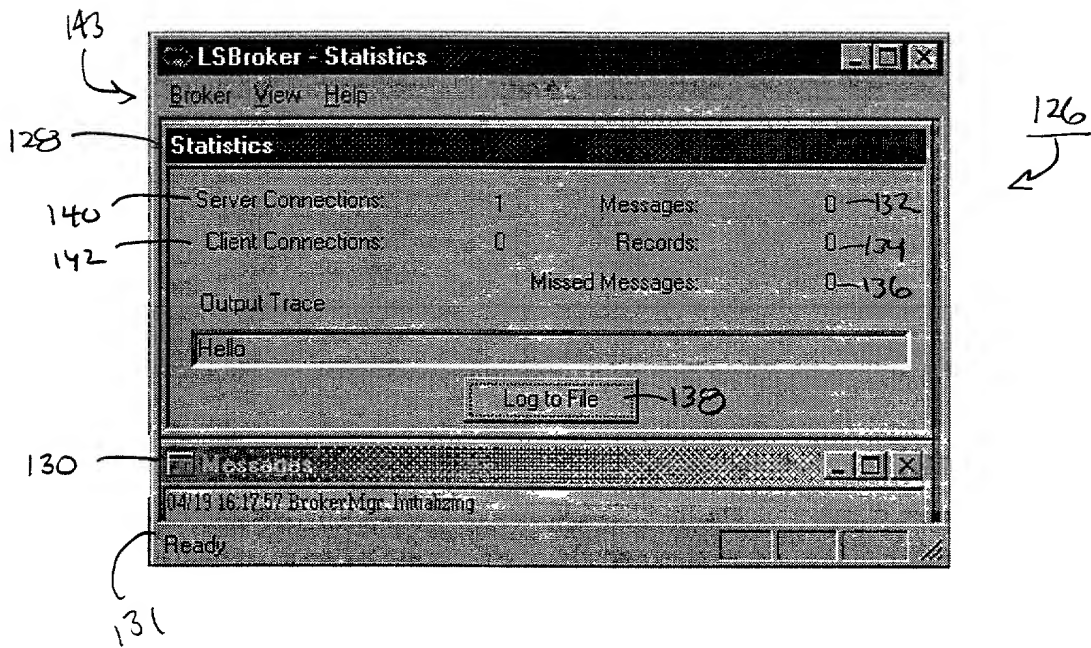


FIG. 15

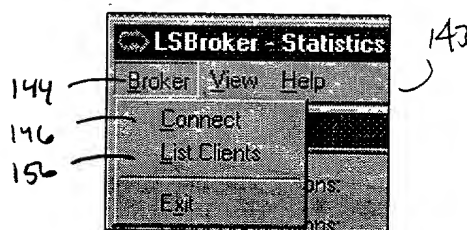


FIG. 16

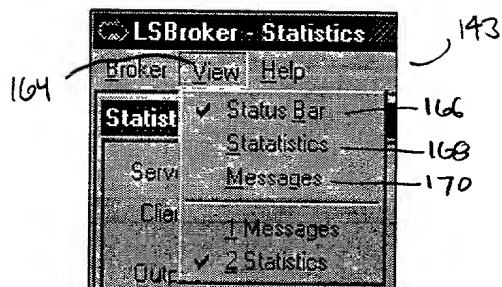


FIG. 17

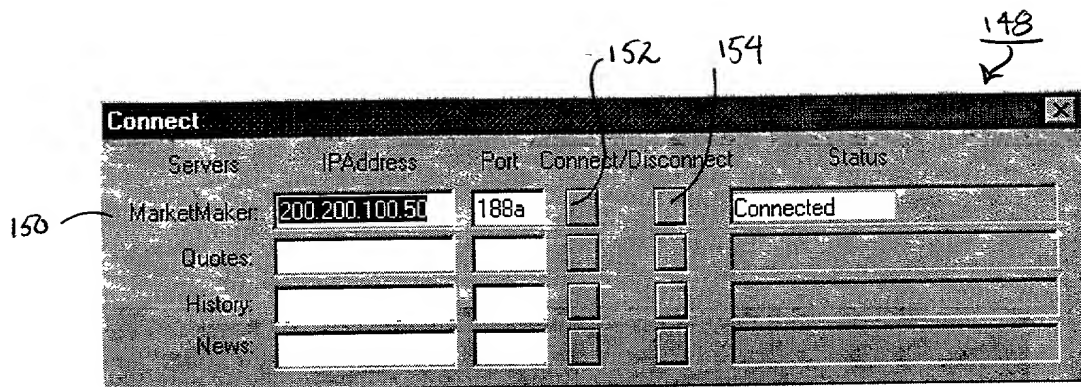


FIG. 18

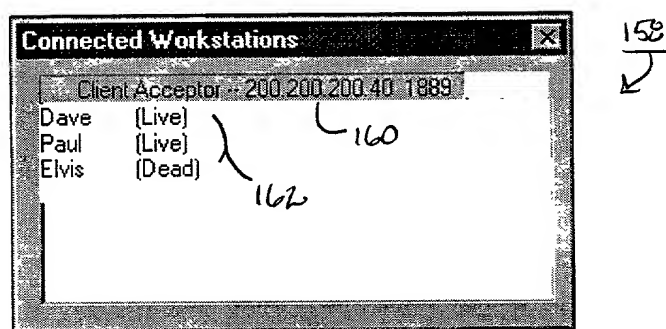


FIG. 19

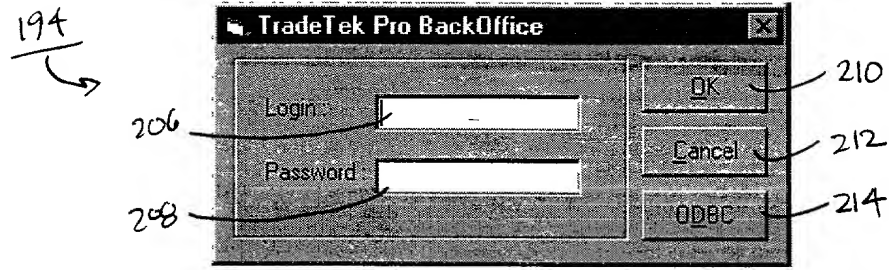


FIG. 20

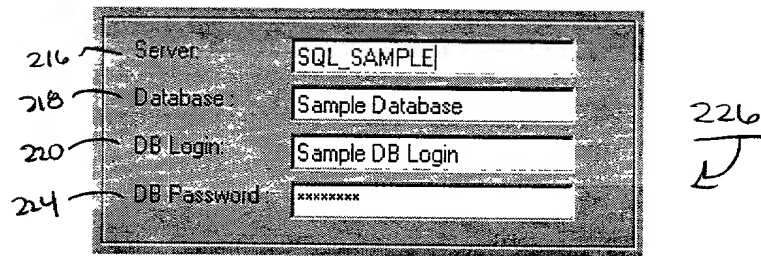


FIG. 21

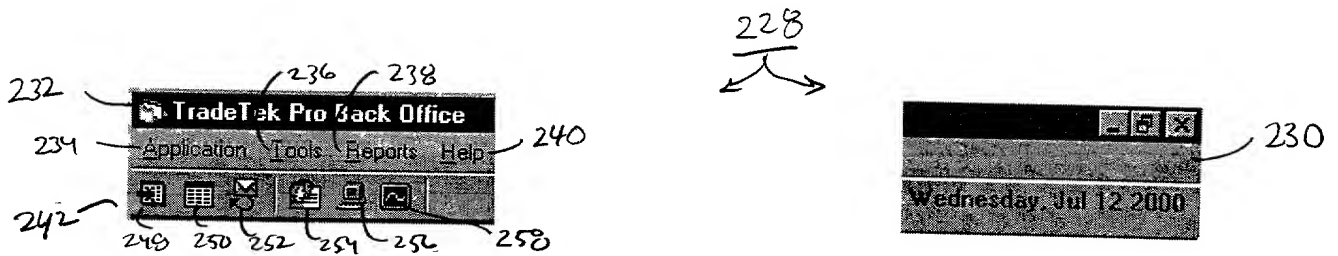


FIG. 22

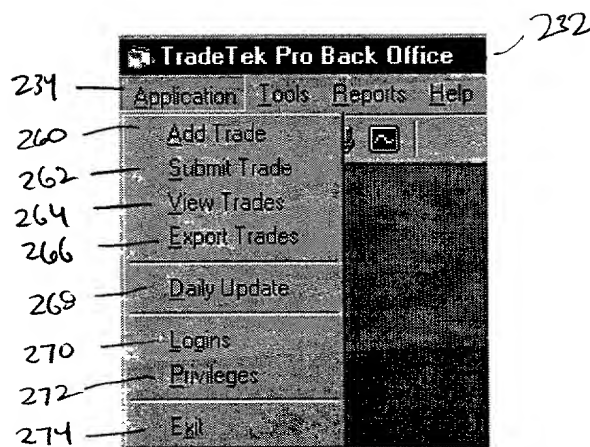


FIG. 23

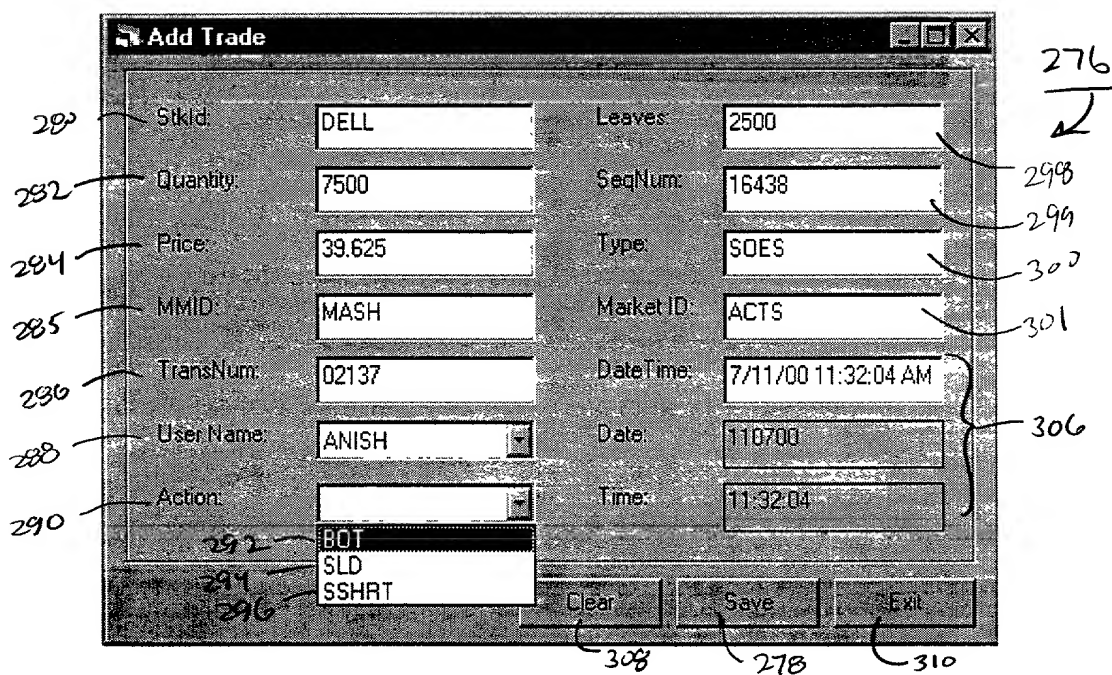


FIG. 24

**Submit Trade**

314 StkId: DELL 312 UserName: DAVIDA

316 Quantity: 500 320 DateTime: 7/11/00 11:36:28 AM

318 Price: 39.625 321 Server: ISLD

326 Action: BOT 322 Report to Client? ☒ 330

324 BOT

SLD

SSHRT

Clear Save Exit 328

**FIG. 25**

**View Trades**

332 Date: 070300 336 Trades: Live 334 Live Archived 376 Sort by: TransNum 338 Show

StkId	Quantity	Price	MMId	TransNum	Account	Action
MSFT	100	95 1/2	ARCA	1325	10206300	BOT
SCOT	200	8	ARCA	1326	10206300	BOT

340

**FIG. 26**

342

344	346	348	350	352	356
SkId	Quantity	Price	MMid	TransNum	Account
358	360	362	364	365	366
Action	Date	Time	DateTime	Leaves	SeqNum
368	370	372	374		
Matched	StopValue	nPrice	TbIndex	Type	

375

FIG. 27

378

380 382

Export Trades

Date (ddmmyy) 020300 Show

SkId	Quantity	Price	MMid	TransNum	Account	Action	Date
GENE	100	61 11/16	ARCA	129	10206230	BOT	020300
GENE	100	61 11/16	ARCA	131	10206230	BOT	020300
AMGN	100	65 3/4	ARCA	135	10206250	BOT	020300
FCSE	100	4 13/32	ARCA	142	10206250	BOT	020300
YHOO	100	155 7/64	ARCA	146	10206230	SSHRT	020300
YHOO	900	154 7/8	ARCA	147	10206230	SSHRT	020300
IRSN	100	12 1/2	ARCA	150	10206230	BOT	020300
IRSN	500	12 1/2	ARCA	151	10206230	BOT	020300
IRSN	400	12 1/2	ARCA	153	10206230	BOT	020300
IRSN	100	12 1/2	ARCA	154	10206230	BOT	020300

385 383

Export to: OATS New Order Report

386

Login/Pwd: msumbaa winteraa

Firm Name: TradeTek LLC

File Name: OATS020300.txt

384

Export Exit

390

FIG. 28

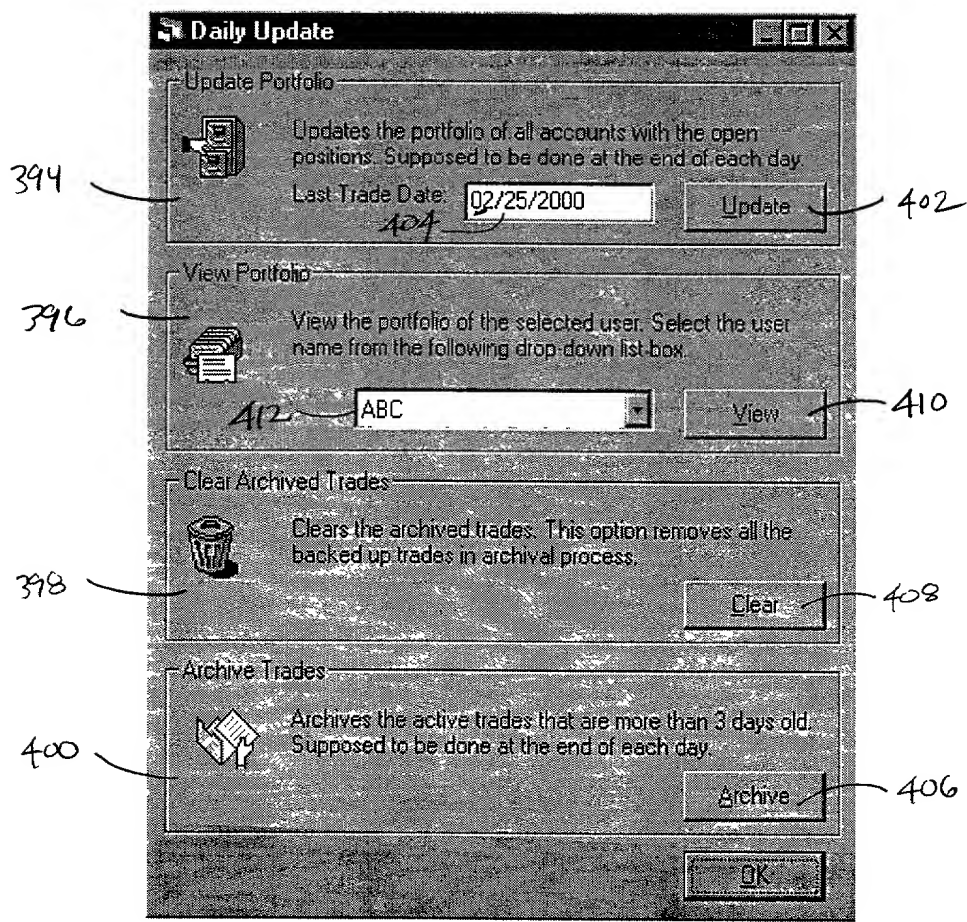


FIG. 29

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**Portfolio of NIRANJAN**

Stock	Quantity	Price	Date
MSFT	100	95.5000	3/7/00 11:33:05 AM
SCOT	200	8.0000	3/7/00 11:33:05 AM

FIG. 30



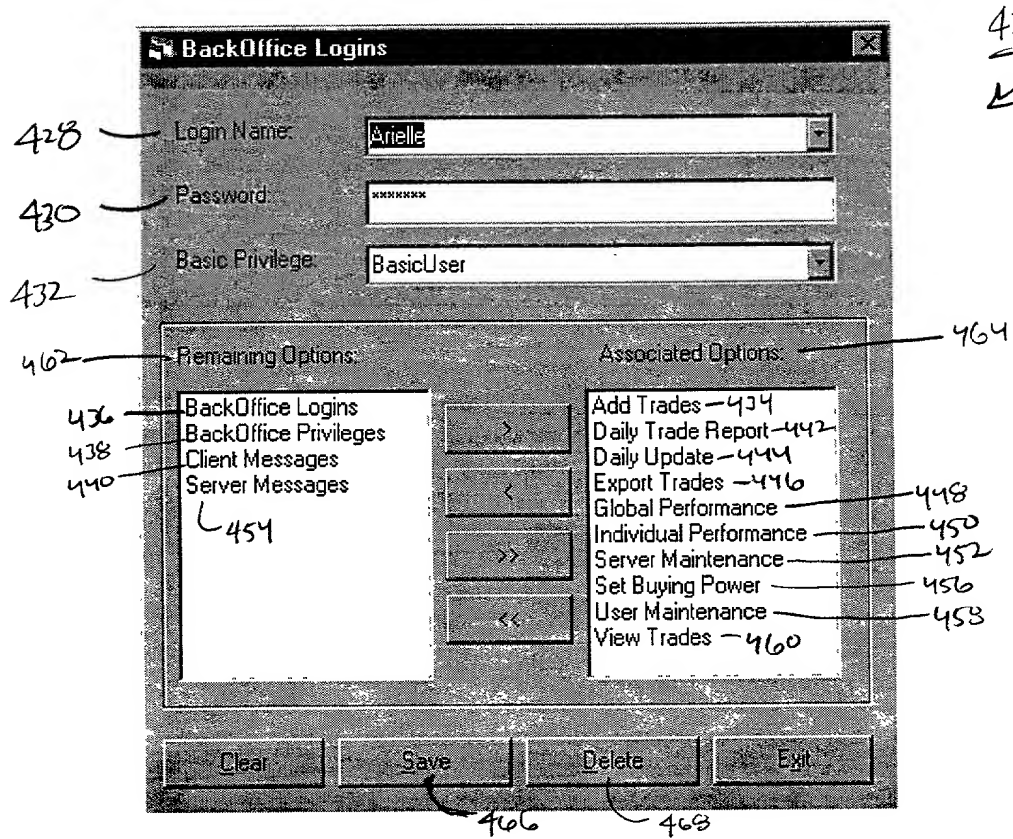


FIG. 31

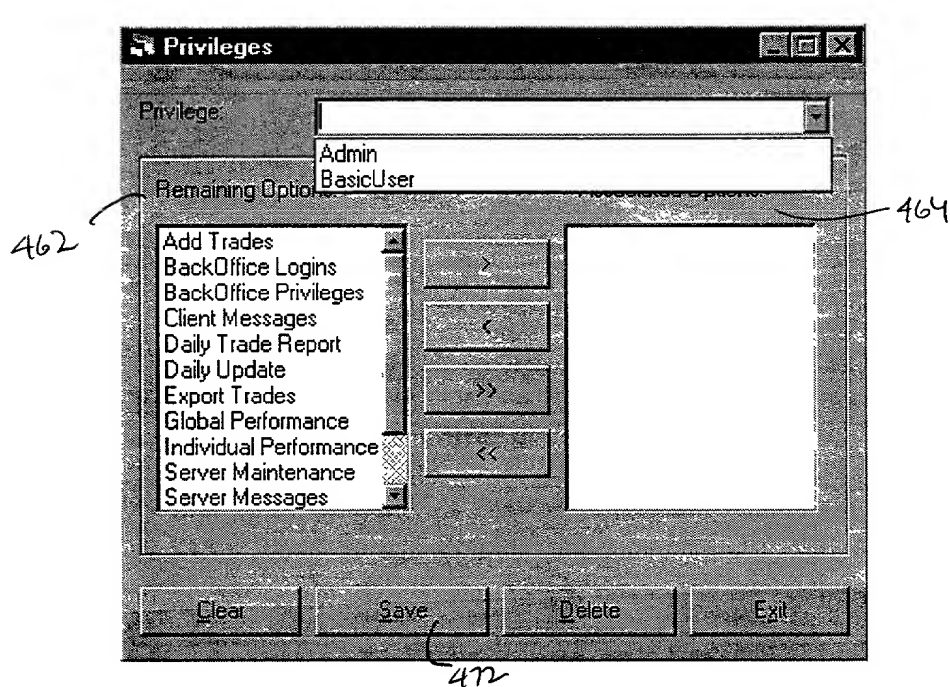


FIG. 32



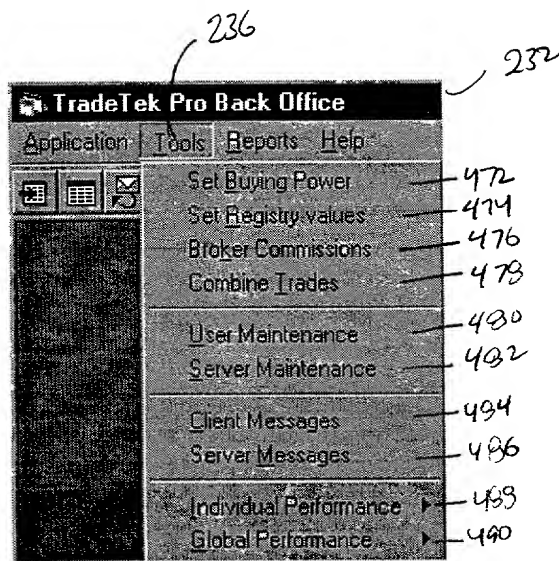


FIG. 33

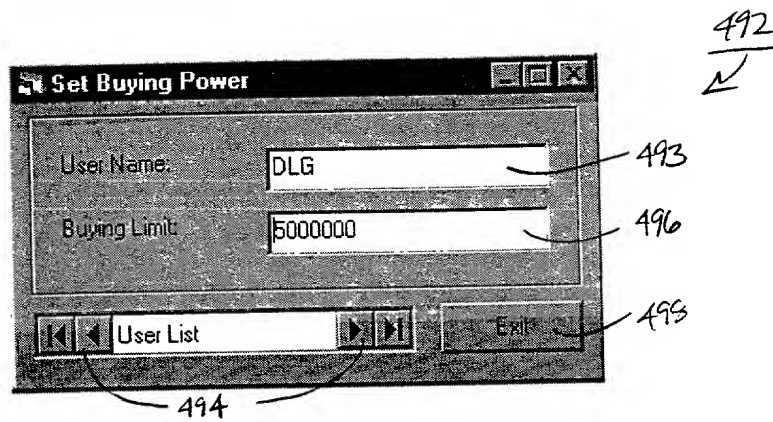
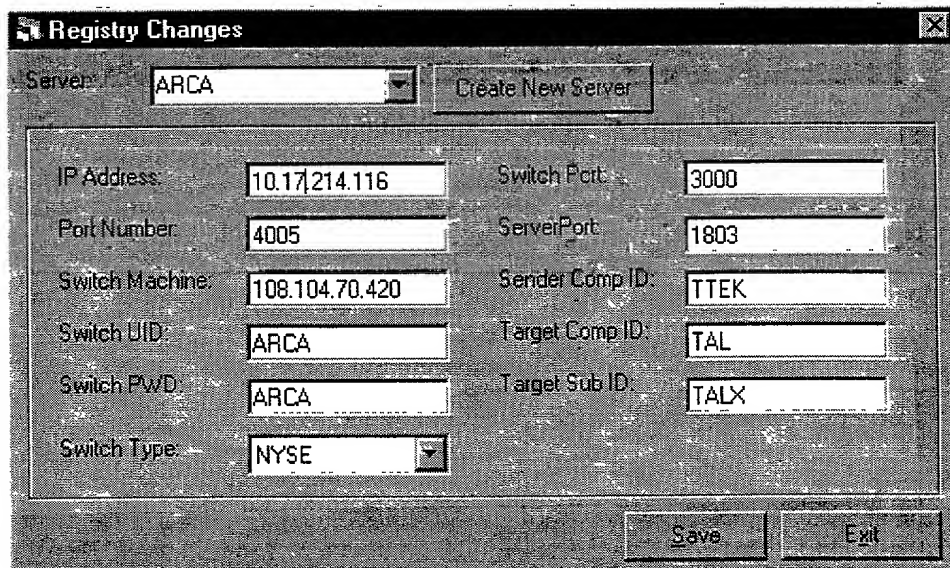


FIG. 34

500  
↙

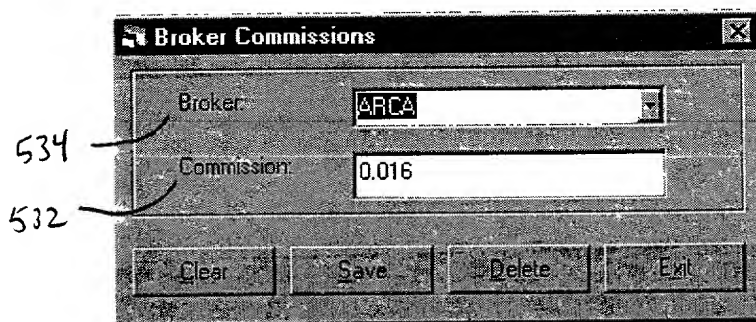


A screenshot of a 'Registry Changes' dialog box. At the top, there is a 'Server' dropdown menu set to 'ARCA' and a 'Create New Server' button. Below this, there are two columns of input fields. The left column contains: 'IP Address' (10.17.214.116), 'Port Number' (4005), 'Switch Machine' (108.104.70.420), 'Switch UID' (ARCA), 'Switch PWD' (ARCA), and 'Switch Type' (NYSE). The right column contains: 'Switch Port' (3000), 'ServerPort' (1803), 'Sender Comp ID' (TTEK), 'Target Comp ID' (TAL), and 'Target Sub ID' (TALX). At the bottom right, there are 'Save' and 'Exit' buttons.

Field	Value
Server	ARCA
IP Address	10.17.214.116
Port Number	4005
Switch Machine	108.104.70.420
Switch UID	ARCA
Switch PWD	ARCA
Switch Type	NYSE
Switch Port	3000
ServerPort	1803
Sender Comp ID	TTEK
Target Comp ID	TAL
Target Sub ID	TALX

FIG. 35

FIG. 35

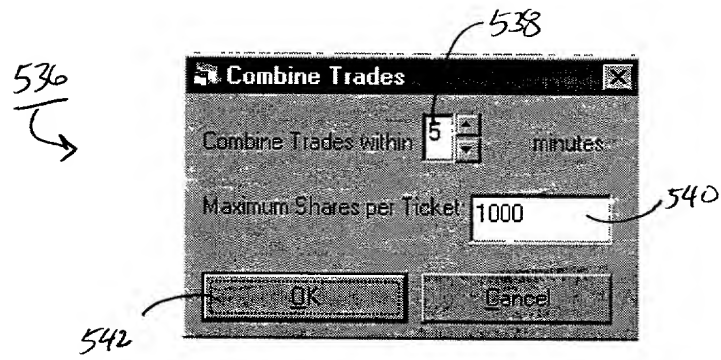


A screenshot of a 'Broker Commissions' dialog box. It features a 'Broker' dropdown menu set to 'ARCA' and a 'Commission' text field containing '0.016'. At the bottom, there are four buttons: 'Clear', 'Save', 'Delete', and 'Exit'. Handwritten labels '534' and '532' with arrows point to the 'Broker' dropdown and the 'Commission' field respectively.

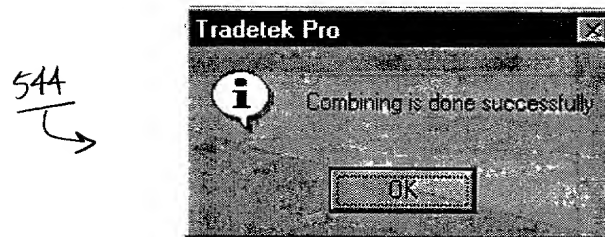
Field	Value
Broker	ARCA
Commission	0.016

530  
↙

FIG. 36



**FIG. 37**



**FIG. 38**

**User Maintenance**

UserName:  546  
 Password:   
 Buying Limit:  548  
 Commission1:   
 Commission2:   
 Status: ☒ Enabled ☐ Disabled

Account No:   
 Account Name:   
 Account Type:  550  
 Market Type:  552  
 Front Side Broker:   
 Transmitting Firm:

Remaining servers:   
 Servers for this user:

554  
 556  
 562

**FIG. 39**

**Server Maintenance**

Name:  570  
 IP Address:  572  
 Port:  574  
 Interface:  576

578  580

564

566

**FIG. 40**

582

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Client Messages

Client: DAVIDA Server: ARCA Date: Today SskId: \*

Client	SskId	Action	Quantity	Price	MMId	Reference No	Info
DAVIDA	MSFT	BOT	200	93 7/8	ARCA		
DAVIDA	CIEN	ACCEPT	300		ARCA		
DAVIDA	CIEN	BOT	100	177	ARCA		
DAVIDA	CIEN	BOT	200	176 15/16	ARCA		
DAVIDA	RHAT	ACCEPT	300		ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	YHOO	ACCEPT	800		ARCA		
DAVIDA	YHOO	SSHRT	800	155 5/16	ARCA		
DAVIDA	LVL	ACCEPT	1000		ARCA		
DAVIDA	LVL	BOT	1000	115 15/16	ARCA		
DAVIDA	ITWO	ACCEPT	700		ARCA		

Raw Message:

{accept|CIX|ACCEPT|100|61|ARCA|020300|10:29:27|100|261}

FIG. 41

589

Client	SskId	Action	Quantity	Price	MMId	Reference No
Info	RawMessage	Time	MsgNumber			

FIG. 42

616  
618

Server Messages

Server: ARCA Client: SAMPLE Date: Today SIKID: SAMPLE Show

Date	Sender	Type	Symbol	Seq Num	AdminFlag	Rejected	ServerId	Client
1000303	TTEK	Logon		1	-1	0	3	
1000303	TAL	Logon		1	0	0	3	
1000303	TTEK	NewOrderSingle	AMGN	15	0	0	3	JMKG
1000303	TAL	ExecutionReport	AMGN	15	0	0	3	JMKG
1000303	TAL	ExecutionReport	AMGN	16	0	0	3	JMKG
1000303	TTEK	OrderCancelRequest	PSFT	49	0	0	3	JMKG
1000303	TAL	OrderCancelReject		51	0	0	3	
1000303	TTEK	OrderCancelRequest	PSFT	50	0	0	3	JMKG
1000303	TAL	OrderCancelReject		52	0	0	3	
1000303	TTEK	Logout		108	-1	0	3	
1000303	TAL	Logout		110	0	0	3	

Raw Message:  
8=FIX.4.0;5=58;35=A;49=TTEK;56=TAL;34=1;52=20000303-17:22:09;98=0;108=30;10=070;

FIG. 43

618

Date	Sender	Type	Symbol	Seq Num
AdminFlag	Rejected	ServerId	Client	Message

620 622 624 626 628  
630 632 634 636 638

FIG. 44





FIG. 45

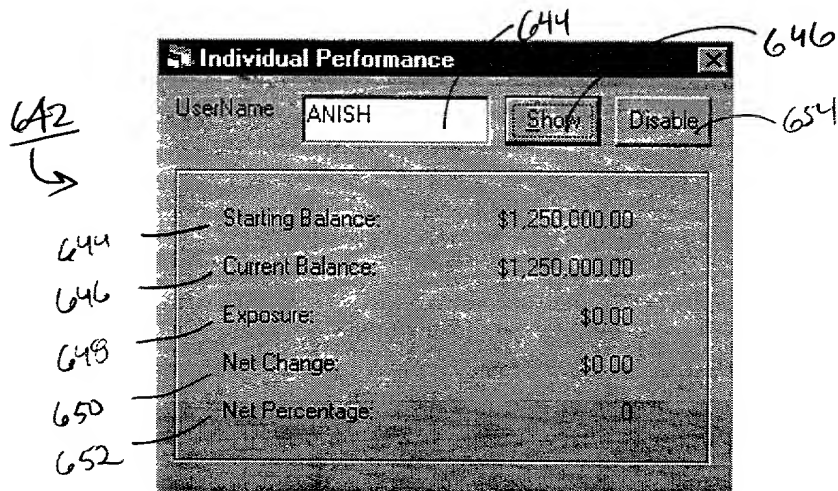


FIG. 46

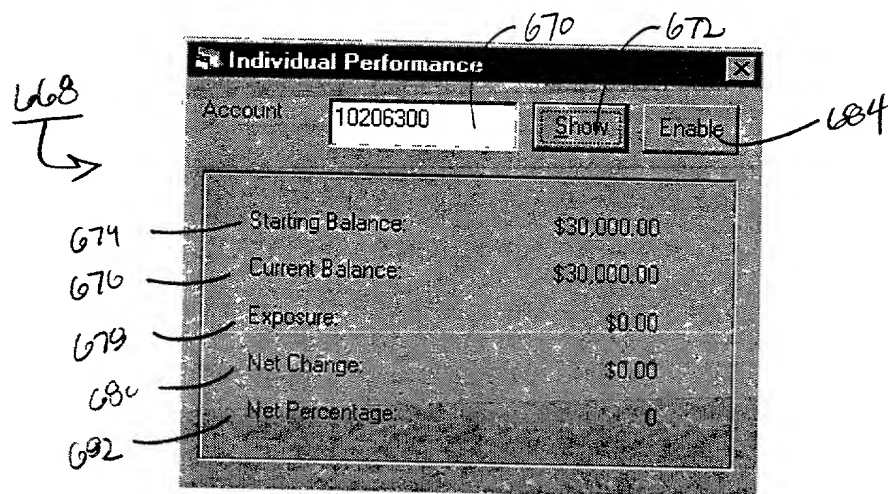


FIG. 47



FIG. 48

UserName	Starting	Current	Exposure	Change	Net %
ABC	\$1,125,000.00	\$1,125,000.00	\$0.00	\$0.00	0
ALPHA	\$100,000.00	\$100,000.00	\$0.00	\$0.00	0
ANISH	\$1,250,000.00	\$1,250,000.00	\$0.00	\$0.00	0
ARUNAS	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
BETA	\$100,000.00	\$100,000.00	\$0.00	\$0.00	0
DAVIDA	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
DELTA	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
DILEE	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0
DLG	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
DMW	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
EBEL	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
GAMMA	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
GELFOND	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
JUNE	\$1,000,000.00	\$1,000,275.00	\$0.00	\$275.00	0.03
NIRANJAN	\$20,000.00	\$20,000.00	\$0.00	\$0.00	0
NIRANJAN1	\$10,000.00	\$10,000.00	\$0.00	\$0.00	0
PAUL	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
SCOTT	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
SOURABH	\$4,000,000.00	\$4,000,000.00	\$0.00	\$0.00	0
STEVE	\$300,099.00	\$300,099.00	\$0.00	\$0.00	0
TEST	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
TESTABC	\$12,000.00	\$12,000.00	\$0.00	\$0.00	0
ZULU	\$500,000.00	\$500,000.00	\$0.00	\$0.00	0

FIG. 49



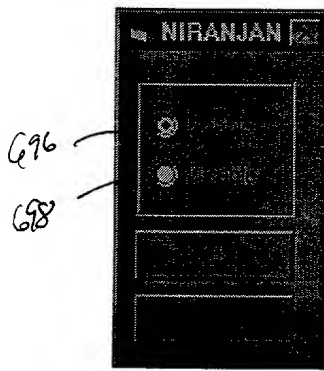


FIG. 50

694

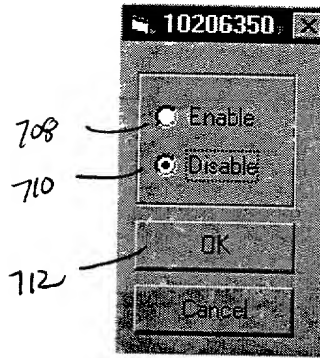


FIG. 52

706

10206350

702

704

Global Performance						
Account	Starting	Current	Exposure	Change	Net %	
10001	\$300,000.00	\$300,000.00	\$0.00	\$0.00		0
10206220	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00		0
10206230	\$1,125,000.00	\$1,125,000.00	\$0.00	\$0.00		0
10206240	\$1,250,000.00	\$1,250,000.00	\$0.00	\$0.00		0
10206250	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00		0
10206260	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00		0
10206270	\$125,000.00	\$125,000.00	\$0.00	\$0.00		0
10206280	\$125,000.00	\$125,000.00	\$0.00	\$0.00		0
10206290	\$1,000,000.00	\$1,000,275.00	\$0.00	\$275.00		0.03
10206300	\$30,000.00	\$30,000.00	\$0.00	\$0.00		0
10206310	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00		0
10206320	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00		0
10206330	\$4,000,000.00	\$4,000,000.00	\$0.00	\$0.00		0
10206340	\$300,099.00	\$300,099.00	\$0.00	\$0.00		0
10206350	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00		0
10206360	\$300,000.00	\$300,000.00	\$0.00	\$0.00		0
10206370	\$500,000.00	\$500,000.00	\$0.00	\$0.00		0
11000111	\$12,000.00	\$12,000.00	\$0.00	\$0.00		0
12700027	\$50,000.00	\$50,000.00	\$0.00	\$0.00		0

FIG. 51

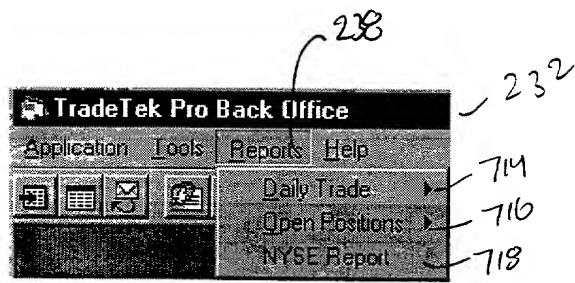


FIG. 53

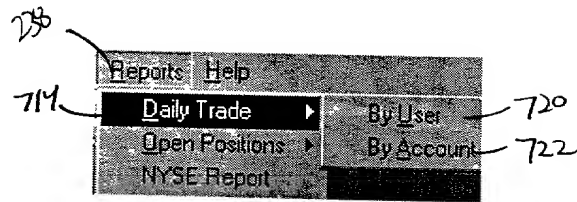


FIG. 54

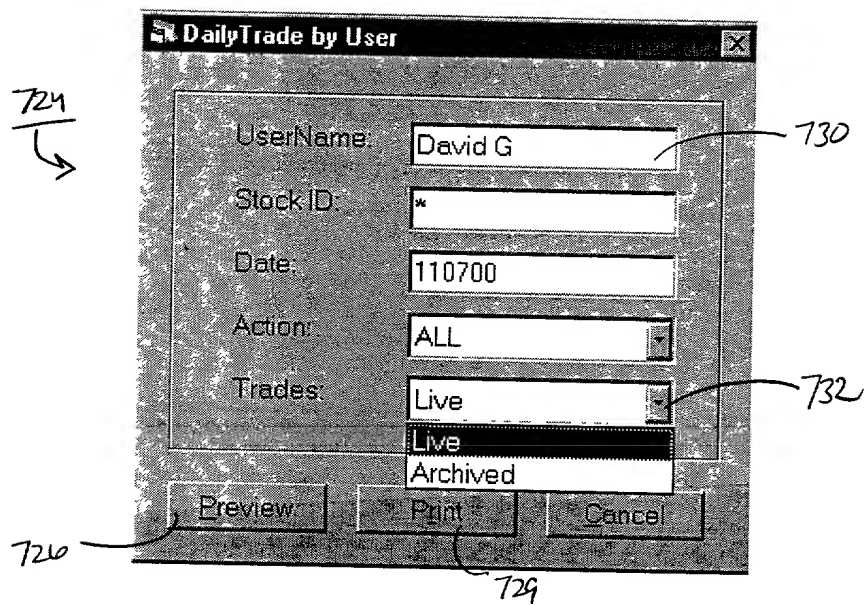


FIG. 55

User: ANISH  
Account: 10206240  
ANISH

**Daily Trade Memorandum**

728

RT#	Ticket#	Time	Stock	Shares	Action	Market	MMID	Price	Comm	SEC	Other	Total
07/01/2000												
15749	15749	13:46:21	TES IB	10	BOI	ACIS	ISLD	50 7/16	\$9.00	\$0.00	\$0.25	(\$513.38)
15749	15750	13:48:40	TES IB	10	SLD	ACIS	ISLD	47 3/16	\$9.00	\$0.02	\$0.25	\$462.88
15751	15751	14:50:00	TES IB	100	BOI	ACIS	ISLD	48	\$9.00	\$0.00	\$2.50	(\$4,809.00)
15751	15752	15:00:56	TES IB	10	BOI	ACIS	ISLD	400	\$1.00	\$0.00	\$0.25	(\$4,001.00)
15751	15753	15:01:29	TES IB	110	SLD	ACIS	ISLD	47 1/8	\$9.00	\$0.17	\$2.75	\$5,174.75
15754	15754	16:40:19	TES IB	1	BOI	ACIS	ISLD	46 7/8	\$9.00	\$0.00	\$0.03	(\$55.88)
15754	15755	16:40:49	TES IB	1	BOI	ACIS	ISLD	47	\$1.00	\$0.00	\$0.03	(\$48.00)
15754	15756	16:42:17	TES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15757	16:42:20	TES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15758	16:42:21	TES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15759	16:59:10	TES IB	5	SLD	ACIS	ISLD	13	\$9.00	\$0.00	\$0.13	\$56.00

Total Sec: \$ 0.19  
Total Comm. & Fees: \$ 65.25  
Total Gross Profit/Loss: (\$3,879.50)

**FIG. 56**

734

736

714

738

742

**FIG. 57**

**FINANCIAL LINKS**  
 Member NASD & SIPC  
 18 Crawford St, Needham, MA.

Friday July 07, 2000  
 Phone: 781 455 0188  
 Fax: 781 455 0188

**Daily Trade Memorandum**

Account: 10206240  
 ANISH

740  
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RT#	Ticket#	Time	Stock	Shares	Action	Market	MMID	Price	Comm	Other	SEC	Total
07/07/2000												
15749	15749	13:46:21	IES IB	10	BOI	ACTS	ISLD	30 7/16	\$9.00	\$0.25	\$0.00	(\$313.36)
15749	15750	13:48:40	IES IB	10	SLD	ACTS	ISLD	47 3/16	\$9.00	\$0.25	\$0.02	\$462.88
15751	15751	14:30:00	IES IB	100	BOI	ACTS	ISLD	48	\$9.00	\$2.50	\$0.00	(\$4,809.00)
15751	15752	15:00:56	IES IB	10	BOI	ACTS	ISLD	400	\$9.00	\$0.25	\$0.00	(\$4,001.00)
15751	15753	15:01:29	IES IB	110	SLD	ACTS	ISLD	47 1/8	\$9.00	\$2.75	\$0.17	\$5,174.75
15754	15754	16:40:19	IES IB	1	BOI	ACTS	ISLD	46 7/8	\$9.00	\$0.03	\$0.00	(\$55.88)
15754	15755	16:40:49	IES IB	1	BOI	ACTS	ISLD	47	\$9.00	\$0.03	\$0.00	(\$48.00)
15754	15756	16:42:17	IES IB	1	BOI	ACTS	ISLD	47 5/8	\$9.00	\$0.03	\$0.00	(\$48.63)
15754	15757	16:42:20	IES IB	1	BOI	ACTS	ISLD	47 5/8	\$9.00	\$0.03	\$0.00	(\$48.63)
15754	15758	16:42:21	IES IB	1	BOI	ACTS	ISLD	47 5/8	\$9.00	\$0.03	\$0.00	(\$48.63)
15754	15759	16:59:10	IES IB	5	SLD	ACTS	ISLD	13	\$9.00	\$0.13	\$0.00	\$56.00

Total Sec: \$0.19  
 Total Comm. & Fees: \$ 87.25  
 Total Gross Profit/Loss: (\$3,879.50)

**FIG. 58**

748

Open Positions by User

UserName:

Preview Print Cancel

746  
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750

**FIG. 59**

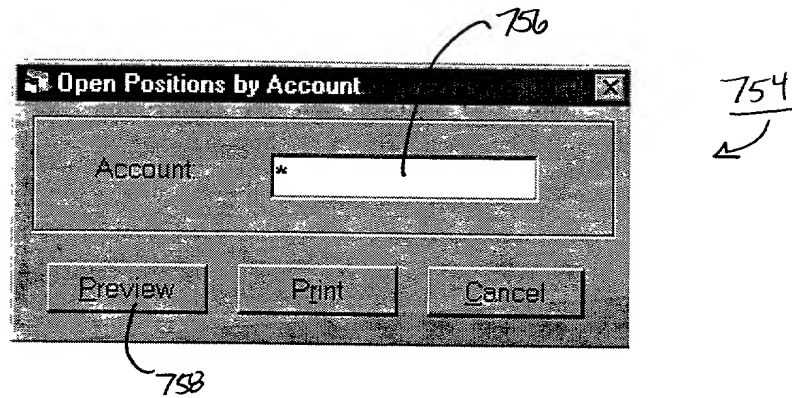


FIG. 60

**FINANCIAL LINKS**

Member NASD & SIPC  
18 Crawford St, Needham, MA.

Tuesday July 11, 2000  
Phone: 781 455 0188  
Fax: 781 455 0188

Open Positions as of 7/11/00 4:23:37PM

Account : 10206300  
Niranyan Avadhuta

Stock	Type	Quantity	Avg. Price	Total
CSCO	LONG	200	111.00	22,200.00
MSFT	LONG	200	76.00	15,200.00
Total Amount:				\$37,400.00

FIG. 61

**NYSE Report Parameters**

From Date: 7/11/00

To Date: 7/11/00

File Name: NYSE0700.txt

User ID: 102305

Customer Name: TradeTek

Export Cancel

762

76A

**FIG. 62**

**FINANCIAL LINKS**

Member NASD & SIPC  
18 Crawford St, Needham, MA.

Tuesday July 11, 2000  
Phone: 781 455 0188  
Fax: 781 455 0188

Open Positions as of 7/11/00 4:19:19PM

UserName: NIRANJAN  
Account: 10206300  
Niranjana Avachuta

Stock	Type	Quantity	Price	Total
MSFT	LONG	200	76.00	15,200.00

Total Amount: \$15,200.00

752

**FIG. 63**

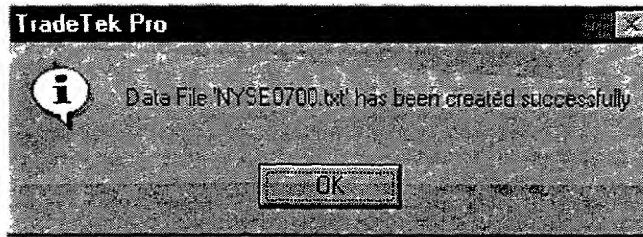


FIG. 64

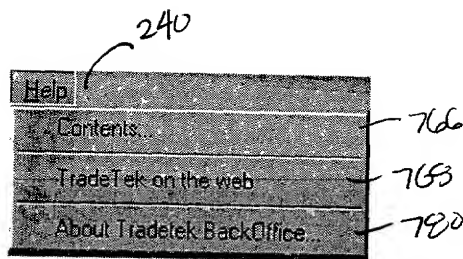


FIG. 65

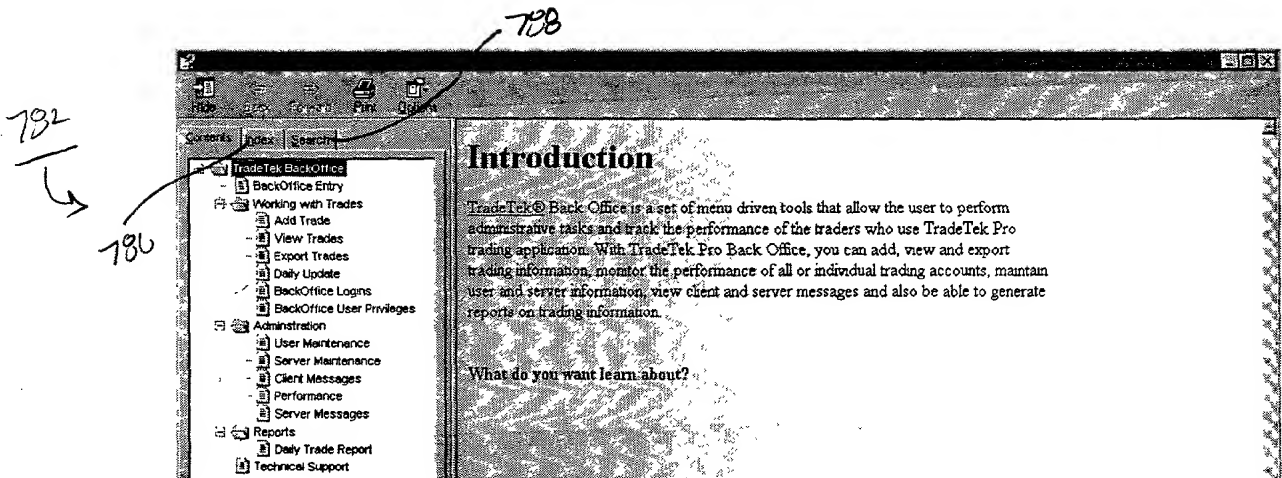
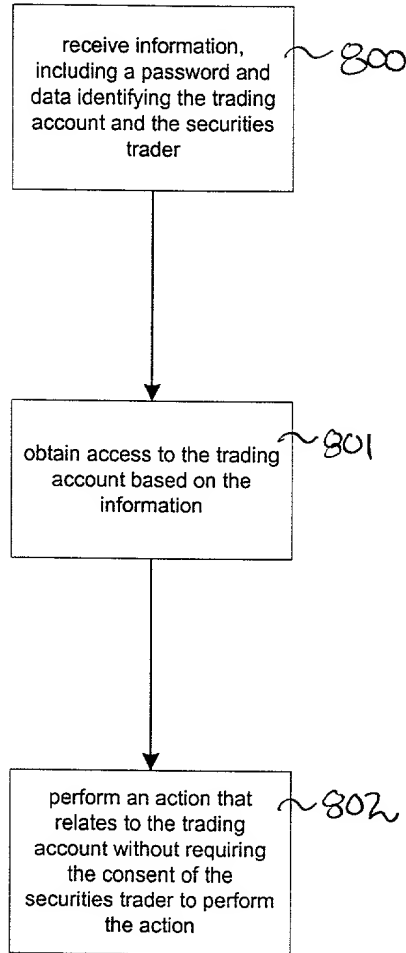


FIG. 66



**FIG. 67**